

Dear Colleagues,

Most of you know we have been operating for the past few weeks with a pause in hiring. A hiring freeze was formalized last week. As you will see in the document that is attached, this policy includes certain exemptions and processes for requesting exceptions (one for academic positions, the other for administrative jobs). The effective date of the freeze is March 24, 2020. It will be in place at least until June 30, 2020, and may well extend into FY21. We are attaching some specific guidance related to the freeze here (please share this guidance within your organizations).

We regret the necessity for this step in light of the unprecedented fiscal pressures we face. The freeze will be managed to do the least possible damage to Columbia's intellectual excellence and the operational support of our mission.

We are grateful for all you are doing to help the University manage today's extraordinary conditions.

With appreciation,

Anne, Gerry and Ira

Anne Sullivan
Executive Vice President for Finance and Information Technology

Gerald M. Rosberg
Senior Executive Vice President

Ira Katznelson
Interim Provost
Ruggles Professor of Political Science and History

Hiring Review Overview

The University has instituted a hiring freeze effective March 24, 2020 for the remainder of FY2020. It is possible that the freeze will need to be extended in FY2021.

Under the terms of the freeze, most hiring will require central university approval, as provided in this document. Before describing the central university approval process, it is important to emphasize that many schools are likely to implement their own restrictions and review processes, as CUIMC already has done.

Where Central Review and Approval are Required

Until the hiring freeze is lifted, academic and administrative hiring across all schools and departments will require Dean, Institute Director, or Administrative Unit head approval, and will be subject to a central review and approval process before a position can be posted or filled, as described below. The goal of central review is to ensure that exceptions to the freeze, whether individual or categorical, are applied equitably across the institution. These guidelines may be amended or updated as we move through the coming months, and if so all Deans, Institute Directors, and Administrative Unit leaders, Senior Business Officers, and HR Managers will be notified of the changes.

Outlined below are the processes for obtaining central approval for academic hiring (Officers of Instruction; Officers of Research, including Postdoctoral Scientists/Scholars and Fellows; Officers of the Libraries) and administrative hiring (all Officers of Administration, Support Staff, and Temporary Employees over two months).

Central review will be required for **new positions** and before filling **existing vacant positions**, unless the exceptions from central review outlined below apply. In addition, **promotions and position upgrades** that result in an increase in salary for officers of administration and support staff must follow the processes outlined below. School-approved promotions for Officers of Instruction and Officers of Research that follow an academic review process (for example, promotion following tenure review) should be provided separately as a schedule in the FY21 academic and institute budget submissions to the Provost and will not follow the hiring review process described below, but will require approval of the school or institute budget.

Exceptions for Central Review

Currently, this central review and approval process applies to full-time and part-time positions, but does not apply to the following (which will continue to be subject only to any school-based restrictions):

- Re-filling of roles deemed by the school to be essential onsite employees
- CUIMC hires deemed essential for its clinical mission
- Accepted, written offers prior to March 24, 2020

- Temporary workers approved by the school, institute or administrative unit and contracted for under two months duration
- Casual workers approved by the school, institute, or administrative unit

In addition, central review will not be required for employees engaged in the types of externally-funded research noted below (though they may still be subject to restrictions at the school level).

- Ongoing or new research deemed necessary to perform onsite (as approved by the Dean or Institute Director), including approved COVID-19 research
- Research that can be performed entirely remotely

We will periodically re-assess the process for research-related hiring to ensure necessary hiring can take place in advance of an anticipated ramp-up in research activity, which may pre-date the end of the University-wide hiring freeze, and will communicate any changes to Deans and Institute heads as well as research administrators and HR hiring managers.

Please note that exemptions for new positions for grant-funded Officers of Research (Professional, Post-doctoral and Staff Officers of Research), whose work is not essential onsite research and cannot be conducted entirely remotely, should follow the central review process below until this policy is modified to reflect an anticipated ramp up in onsite research.

Deans and Institute Directors may make requests for categories of exceptions to the central review process, such as (but not limited to) adjunct hiring to support teaching requirements. With any categorical request, the request should include the number of applicable positions, the justification for exception, a relevant metric to justify the number requested, and the funding source at the time of hire. If funding sources may shift over time (if for example, unrestricted funds will be utilized until new onsite research activity resumes), then this should be noted and quantified in the request.

Currently posted vacant positions that are not deemed critical at this time and, therefore, are not being submitted for review, should be withdrawn from TalentLink or RAPS.

Academic Hiring Requests

The review process for academic hiring will be managed by the Office of the Provost. All requests for posting new positions or hiring individuals into previously posted academic positions must first have Dean or Institute Director approval. All CUIMC proposed academic hiring is subject to an internal CUIMC process, culminating in the CEO of CUIMC approval, and then review with the Provost. The CEO of CUIMC, Morningside Deans and Institute heads may send requests for central approval to academic.hiringrequest@columbia.edu. Requests should include the position title, description, and total compensation and expenditures including start-up funding, lab renovation, and housing expenses, if applicable. Requests should also include a justification for the exception to the freeze, and the funding source for the position. If the candidate is known, the request should include a summary of the candidate's qualifications, particularly if relevant to the exception request. In the final

review of the request, the Provost will consult with the CEO of CUIMC, the respective Morningside Dean or Institute head to determine the appropriate pace of the hiring requested.

Administrative Hiring Requests

The central review process for Officers of Administration and Support Staff will be managed by Human Resources with assistance from the Office of Management and Budget. All requests for posting new positions or hiring individuals into previously posted administrative positions, including administrative positions within a school or institute, must first have Dean or Institute head approval, or for central administrative units, approval of the relevant Administrative Unit head. All requests for administrative hiring at CUIMC are subject to an internal CUIMC process, culminating in the CEO of CUIMC approval, and then review with central HR and OMB. Requests may be submitted to administrative.hiringrequest@columbia.edu, and will include a completed form which will be distributed to all hiring managers. Requests should include the position title, description, and total compensation. Requests should also include a justification for the exception to the freeze, and the funding source for the position. If known, the request should include relevant aspects of the candidate's qualifications, particularly if relevant to the exception request.

A few additional notes regarding administrative hiring:

Internal Transfers that result in salary increases are subject to this review.

Position upgrades, where an employee's responsibilities change, resulting in a grade change and possibly a salary increase, the grade change and any salary increase require review/approval.

It is possible that conditions may change subsequent to obtaining central approval but before a new employee is in place. The following guidance relates to certain situations after central approval has been granted:

Position Description changes: Changes to an already approved position that has not yet been filled do not need to be resubmitted as long as the changes do not result in a higher grade than was originally approved.

Refilling positions: If a newly-approved hired employee vacates an approved position within three months of hire, and the position is going to be reposted exactly as it was approved, the posting does not require another review.

The central review administrative hiring forms mentioned above will be forthcoming in the next few days.

Please do not hesitate to reach out with any questions. The email addresses provided above may be utilized for questions as well as requests.